

### **REMARKS**

In response to the Office Action mailed January 5, 2010, Applicant respectfully requests reconsideration. To further the prosecution of this application, amendments have been made in the claims, and each of the rejections set forth in the Office Action has been carefully considered and is addressed below. The claims as presented are believed to be in condition for allowance.

Claims 18, 20-29, 35, 37-46, 52-54, 61-64, 66-67, 69, 73 and 75 were previously pending in this application. Claims 18, 20, 23-25, 27, 29, 35, 37, 40-42, 44 and 46 are amended herein. Claims 26, 43 and 52-54 are canceled. No claims are added. As a result, claims 18, 20-25, 27-29, 35, 37-42, 44-46, 61-62, 64, 66-67, 69, 73 and 75 remain pending for examination, with claims 18 and 35 being independent. No new matter has been added.

#### **Claim Rejections Under 35 U.S.C. §103**

Each of independent claims 18 and 35 is rejected under 35 U.S.C. §103(a) as purportedly being obvious over U.S. Patent No. 6,122,635 to Burakoff et al. ("Burakoff") in view of U.S. Patent No. 7,451,232 to Cole et al. ("Cole") and further in view of U.S. Patent Publication No. 2002/0107847 to Johnson ("Johnson"). As presented herein, each of independent claims 18 and 35 patentably distinguishes over any combination of the asserted references.

#### **A. Brief Overview Of Embodiments Of The Invention**

Embodiments of the invention relate generally to providing access to a source location at which a particular data element resides within an item of compliance information. In this respect, Applicant's specification discloses that "compliance information" is information about a particular security that a securities exchange (e.g., the U.S. Securities and Exchange Commission, or SEC) and/or a regulatory agency require that securities issuers make available to investors and potential investors in that security. A common example of an item of compliance information is a prospectus document for a mutual fund, although other examples include statements of additional information ("SAIs"), supplements to SAIs, annual reports, semi-annual reports, some sales and marketing

information, supplements to prospectuses (“stickers”), etc. Some data elements that may be included within an item of compliance information may include, for example, a security’s investment objective, the returns it earned in previous years, fees associated with investing, a mutual fund’s manager, etc.

The Office Action cites Burakoff, which is commonly assigned with the present application, in rejecting each independent claim. Burakoff discloses a solution to a problem that is very different than that which is addressed by the claimed embodiments. Specifically, Burakoff discloses a system for identifying items of compliance information from among the sea of securities documents filed with repositories such as the Electronic Data Gathering, Analysis and Retrieval (EDGAR) system maintained by the SEC. In this respect, items of compliance information like prospectus documents are commonly buried within larger securities filings, and these filings may include information other than the prospectus, such as other types of compliance information for other securities. The Burakoff system receives securities filings (e.g., retrieved from EDGAR and/or other repositories) as input, catalogs them, determines the start and end points of items of compliance information included within each filing, and determines the effective date of each item of compliance information. The system produces output in the form of a file containing one or more identified items of compliance information.

The embodiments claimed in the present application support a very different objective. Specifically, the claimed embodiments provide a user viewing a representation of data relating to a security with the ability to access a source location, which is within an item of compliance information, in which the data originally appeared. For example, a user looking at information relating to a security on a web page may access the portion of the original item of compliance information in which a data element relating to that information appeared. Using this capability, a user may, for example, verify the accuracy of the information, get additional detail on the information, etc. For example, a user viewing a web page showing data on fees charged by a mutual fund may wish to access the section of the fund’s prospectus document originally filed to EDGAR in which the fee structure was explained in detail, so that the user can determine whether certain fee discounts may apply to them, etc.

Embodiments of the invention provide this and other useful capabilities. For example, some embodiments provide a technique whereby an item of compliance information is processed to identify a source location within the item of compliance information as containing a particular data element. The item of compliance information is delimited by a start point and an end point and the source location excludes the start point and the end point. The identification of the source location as containing the particular data element employs at least one parameter relating to the particular data element's appearance within the item of compliance information. Once the source location is identified, an indication of the source location is stored. A user viewing a representation of the particular data element in a data structure other than the item of compliance information may issue a request to access the data element at the source location, and the stored indication of the source location may be used to retrieve it.

The foregoing summary is provided to assist the Examiner in appreciating some aspects of the invention. However, this summary does not necessarily apply to each independent claim, and the language of each independent claim may differ in material respects from the examples described above. Thus, Applicant respectfully requests that the Examiner give careful consideration to the language of each independent claim and to address each on its own merits, without relying on the summary above. In this respect, Applicant does not rely upon the foregoing to distinguish any claim over the prior art, but rather relies only upon the language of the claims and the remarks below.

B. Claim 18

Claim 18 recites at least one computer-readable medium having instructions encoded thereon which, when executed by a computer system, perform a method. The method comprises, *inter alia*, processing an item of compliance information to identify a source location within the item of compliance information as containing a particular data element. The item of compliance information is delimited by a start point and an end point and the source location excludes the start point and the end point. The identification of the source location as containing the particular data

element employs at least one parameter relating to the data elements appearance within the item of compliance information.

In Applicant's previous response (i.e., filed September 21, 2009), it was pointed out that neither Burakoff nor Johnson discloses or suggests identifying, within an item of compliance information identified by a start point and an end point, a source location that excludes the start point and the end point and that contains a particular data element. The Office Action now contends that newly cited reference Cole satisfies these limitations. Although Applicant disagrees that these limitations are satisfied by Cole, claim 18 is amended to even further clarify the distinctions over the prior art of record.

Cole discloses a technique for exchanging data between computers (Abstract). According to this technique, a data file is generated using mark up language conventions in accordance with a predetermined schema agreed upon by the source and destination locations (i.e., computers) (Abstract). A software "envelope" containing the data file is generated by the source computer and transmitted to the destination computer (Abstract). When the data file is received by the destination computer, it creates an object from the data file using the predetermined schema (Abstract). With reference to FIGs. 3 and 4, Cole discloses sample <XML> tags that may be used to generate an envelope containing a data file (col. 4, lines 34-35). Among these tags is the <delivery> tag, and within the <delivery> tag a <message> tag containing information specific to the data being exchanged, and a <from> tag identifying the "source location" for the envelope (i.e., the originating computer which sent the envelope (col. 4, lines 48-67). The Office Action adopts the position that the identification of the originating computer for the data file satisfies the claim 18 limitations directed to identifying, within an item of compliance information delimited by a start point and an end point, a source location that excludes the start point and the end point and that contains a particular data element.

Although Applicant believes this contention to be wholly unsupported by the reference, claim 18 is amended to even more clearly and patentably distinguish over the asserted combination. Specifically, claim 18 is amended to recite processing an item of compliance information to identify a source location within the item of compliance information *as containing a particular data*

*element*, wherein the item of compliance information is delimited by a start point and an end point and the source location excludes the start point and the end point. Cole says nothing at all relating to identifying a location within an item of compliance information *as containing a particular data element*, let alone identifying a source location which excludes a start point and end point of the item of compliance information.

Neither Burakoff nor Johnson remedy this deficiency of Cole. As discussed in the overview above, Burakoff is directed to an identifying an entire item of compliance information within a securities filing, using the start and end points of the item of compliance information. Burakoff says nothing about identifying any source location *as containing a particular data element*, let alone a source location which excludes the start point and the end point of the item of compliance information.

Johnson discloses a “visual” internet search engine that retrieves HTML documents from the Internet and scans them for representative non-textual content, such as images or audio files (Abstract). The representative non-textual content is stored in a database, and is presented to the user in response to queries that return the associated pages as results (FIG. 10). Johnson simply says nothing at all regarding processing an item of compliance information to identify a source location within the item of compliance information *as containing a particular data element*, as recited by claim 18.

As none of the asserted references discloses or suggests identifying a source location within an item of compliance information as containing a particular data element, as recited by claim 18, claim 18 patentably distinguishes over any combination of the asserted references, such that the rejection of claim 18 under 35 U.S.C. §103(a) as purportedly being obvious over Burakoff in view of Cole and Johnson should be withdrawn.

Claims 20-25, 27-29, 61, 62, 64 and 73 depend from claim 18 and are allowable for at least the same reasons.

C. Claim 35

Claim 35 recites a system comprising, *inter alia*, processing means for processing an item of compliance information to identify a source location within the item of compliance information as containing a particular data element. The item of compliance information is delimited by a start point and an end point and the source location excludes the start point and the end point. The identification of the source location as containing the particular data element employs at least one parameter relating to the particular data elements appearance within the item of compliance information.

It should be appreciated from the discussion above relating to claim 18 that none of the asserted reference discloses or suggests a system comprising processing means for processing an item of compliance information to identify a source location within the item of compliance information as containing a particular data element, wherein the item of compliance information is delimited by a start point and an end point and the source location excludes the start point and the end point.

Accordingly, claim 35 patentably distinguishes over any combination of the asserted references, such that the rejection of claim 35 under 35 U.S.C. §103(a) as purportedly being obvious over Burakoff in view of Cole and Johnson should be withdrawn.

Claim 37-42, 44-46, 66-67, 69 and 75 depend from claim 35 and are allowable for at least the same reasons.

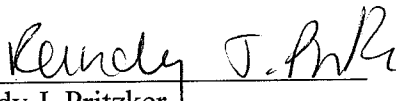
**CONCLUSION**

A Notice of Allowance is respectfully requested. The Examiner is requested to call the undersigned at the telephone number listed below if this communication does not place the case in condition for allowance.

If this response is not considered timely filed and if a request for an extension of time is otherwise absent, Applicant hereby requests any necessary extension of time. If there is a fee occasioned by this response, including an extension fee, the Director is hereby authorized to charge any deficiency or credit any overpayment in the fees filed, asserted to be filed or which should have been filed herewith to our Deposit Account No. 23/2825, under Docket No. N0389.70009US01.

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Respectfully submitted,

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